

Government
Information
Technology
Agency

Statewide POLICY

P136 Rev 5.0

TITLE: Information Technology
Planning

Effective Date: September 12, 2008

1. AUTHORITY

The Government Information Technology Agency (GITA) shall develop, implement and maintain a coordinated statewide plan for information technology (IT) (A.R.S. § 41-3504(A (1))) including the formulation of IT policies to effectuate the purposes of the agency (A.R.S. § 41-3504(A (13))).

2. PURPOSE

All Budget Units shall develop strategic plans for information technology that describe a comprehensive framework for the deployment of information technologies throughout state government and in support of the Arizona Statewide Strategic IT Plan. Information technology planning is an effective and efficient method for achieving and implementing business initiatives, goals, and objectives in addition to statewide strategies and initiatives.

3. SCOPE

This policy applies to all Budget Units. A Budget Unit is defined as a department, commission, board, institution or other agency of the state receiving, expending, or disbursing state funds or incurring obligations of the state including the Arizona Board of Regents but excluding the universities under the jurisdiction of the Arizona Board of Regents, the community college districts and the legislative or judicial branches. A.R.S. § 41-3501(2).

The Budget Unit Chief Executive Officer (CEO), working in conjunction with the Budget Unit Chief Information Officer (CIO), shall be responsible for ensuring the effective implementation of Statewide Information Technology Policies, Standards, and Procedures (PSPs) within each Budget Unit.

4. POLICY

In accordance with A.R.S. § 41-3504 (A (1(f))), GITA evaluates and approves or disapproves Budget Unit Strategic IT Plans. All Budget Units shall develop an annual Strategic IT Plan beginning each fiscal year (July 1st) and submit such plans to GITA on or before September 1st of each calendar year with the following requirements:

- 4.1 Group 1 Budget Units shall complete the web-based Planning Application for Reporting Information Technology Strategy (PARIS) program for Strategic IT Planning (See Attachment A for a listing of Group 1 Budget Units.)
 - a. The PARIS program for Strategic IT Planning shall follow the Governor's Office of Strategic Planning and Budgeting (OSPB) **Managing for Results - Strategic Planning and Performance Measurement Handbook**

with respect to goals, objectives, IT trends and issues, and performance measures.

- b. IT planning for Group 1 Budget Units shall extend over four years beginning with the current fiscal year plus the next three fiscal years.
 - c. IT Plans from the previous year shall be rolled over to the new fiscal year to allow Budget Units to modify and update previous plans with new/revised goals, objectives, actual target measures and updated performance measures. At a minimum, agencies need to complete the actuals for the past fiscal year, then forecast performance measures for the upcoming three fiscal years.
 - d. Revisions made to the format and content of PARIS by GITA shall be completed and available to all Budget Units before July 1st of each current year. This allows time for Budget Units to prepare, complete and submit Strategic IT Plans on or before September 1st.
 - e. All Group 1 Budget Units shall complete the online web-based Technology Infrastructure and Security Assessment (TISA) to finalize the annual planning process on or before September 1st. Refer to Statewide Standard P800-S805 IT Risk Management for the TISA requirements.
- 4.2 All other Budget Units, small agencies, boards and commissions identified in Group 2 (see Attachment B) shall complete their strategic IT Plans using the TISA application.
- 4.3 A user name and password shall be issued by GITA to the Budget Unit personnel upon approval of the Budget Unit's CIO for access to either PARIS or TISA applications.
- 4.4 GITA will review and approve or disapprove a budget unit's Strategic IT Plan based upon the "IT Plan Evaluation Criteria" listed in Attachment C of this policy.
- 4.5 It is at the discretion of the State CIO to report IT trends related to infrastructure and security, as well as known vulnerabilities/gaps for the State as an enterprise, communities of interest, and/or budget units at risk to the appropriate state leadership.

5. DEFINITIONS AND ABBREVIATIONS

Refer to the PSP Glossary of Terms for definitions and abbreviations.

6. REFERENCES

- 6.1 A. R. S. § 41-621 et seq., "Purchase of Insurance; coverage; limitations, exclusions; definitions."
- 6.2 A. R. S. § 41-761 et seq., "Personnel Administration."
- 6.3 A. R. S. § 41-1335 ((A (6 & 7))), "State Agency Information."

- 6.4 A. R. S. § 41-1339 (A), “Depository of State Archives.”
- 6.5 A. R. S. § 41-2501 et seq., “Arizona Procurement Codes, Applicability.”
- 6.6 A. R. S. § 41-3501, “Definitions.”
- 6.7 A. R. S. § 41-3504, “Powers and Duties of the Agency.”
- 6.8 A. R. S. § 41-3521, “Information Technology Authorization Committee; members; terms; duties; compensation; definition.”
- 6.9 A. R. S. § 44 -7041, “Governmental Electronic Records.”
- 6.10 Arizona Administrative Code, Title 2, Chapter 5, “Department of Administration, Personnel Administration.”
- 6.11 Arizona Administrative Code, Title 2, Chapter 7, “Department of Administration Finance Division, Purchasing Office.”
- 6.12 Arizona Administrative Code, Title 2, Chapter 10, “Department of Administration Risk Management Section.”
- 6.13 Arizona Administrative Code, Title 2, Chapter 18, “Government Information Technology Agency.”
- 6.14 Statewide Policy P100, Information Technology.
- 6.15 Statewide Standard P800-S805, IT Risk Management.

ATTACHMENTS

- A. Group 1 Budget Units
- B. Group 2 Budget Units
- C. IT Plan Evaluation Criteria

ATTACHMENT A. Group 1 Budget Units*

Administration, Arizona Department of
Agriculture, Arizona Department of
Arizona Health Care Cost Containment System
Attorney General, Arizona Office of the
Corporation Commission, Arizona Corrections,
Arizona Department of
Economic Security, Arizona Department of
Education, Arizona Department of
Emergency and Military Affairs, Arizona Department of
Environmental Quality, Arizona Department of
Game & Fish Department, Arizona
Gaming, Arizona Department of
Governor, Office of the
Health Services, Arizona Department of
Homeland Security, Department of
Industrial Commission, Arizona
Juvenile Corrections, Arizona Department of
Land, Arizona Department of
Liquor Licenses and Control, Arizona Department of
Lottery, Arizona
Parks, Arizona State
Public Safety, Arizona Department of
Radiation Regulatory Agency
Revenue, Arizona Department of
Registrar of Contractors, Arizona
Retirement System, Arizona State
Secretary of State, Arizona
Transportation, Arizona Department of
Veterans' Services, Arizona Department of
Water Resources, Arizona Department of

*Group 1 budget units are defined as having critical business functions that pertain to health and life safety, critical public services, and/or legal mandates in addition to high IT budget expenditures.

ATTACHMENT B. Group 2 Budget Units

Accountancy Board, Arizona
Acupuncture Examiners Board
Administrative Hearings, Office of
Appraisal, Arizona Board of
Arts, Arizona Commission on the
Auto Theft Authority, Arizona
Barbers, Arizona Board of
Behavioral Health Examiners, Arizona
Biomedical Research Commission
Building, Life, & Fire Safety, Arizona Department of
Charter Schools, Arizona State Board for
Chiropractic Examiners, Arizona Board of
Citizens Clean Election Commission
Commerce, Arizona Department of
Cosmetology, Arizona Board of
Criminal Justice Commission, Arizona
Deaf and Blind, Arizona School for the
Deaf and Hard of Hearing, Arizona Commission for the
Dental Examiners, Arizona Board of
Dispensing Opticians Board
Early Childhood Development & Health Board
Equalization, Arizona Board of
Executive Clemency, Arizona Board of
Exposition and State Fair, Arizona
Financial Institutions Department, Arizona
Funeral Directors & Embalmers Board
Geological Survey, Arizona
Government Information Technology Agency
Historical Society, Arizona
Homeopathic Medical Examiners Board
Housing, Department of
Indian Affairs, Arizona Commission of
Insurance, Arizona Department of
Medical Board, Arizona
Mine Inspector
Mines & Mineral Resources
Naturopathic Physicians Examiners Board
Navigable Stream Adjudication Commission
Nursing, Arizona Board of
Nursing Care Examiners Board
Occupational Therapy Examiners Board
Optometry, Arizona Board of Osteopathic
Examiners, Arizona Board of Personnel
Board
Pharmacy Board, Arizona
Physical Therapy Examiners Board
Pioneers Home, Arizona
Podiatry Examiners Board

Postsecondary Education, Board of Postsecondary
Education, Commission for Private Psychologist
Examiners Board
Racing, Arizona Department of
Real Estate, Arizona Department of
Regents, Arizona Board of
Residential Utility Consumers Office
Respiratory Care Examiners Board
School Facilities Board
Structural Pest Control Commission, Arizona
Tax Appeals Board, Arizona
Technical Registration, Arizona Board of
Tourism Office, Arizona
Treasurer, Arizona State
Veterinary Medical Examiners Board, Arizona
Water Infrastructure Finance Authority
Weights and Measures, Arizona Department of

ATTACHMENT C. IT Plan Evaluation Criteria

GITA shall use the criteria below for evaluation and acceptance of the budget unit's Strategic IT Plan. If the plan is found not to fully articulate the budget unit's IT direction, GITA shall be in communication with the budget unit's contact to further clarify its IT direction.

Goals – Does the goal support at least one of the following?

- Does it support the budget unit IT vision and mission?
- Does it deal with just one issue?
- Is it clear about what you want to accomplish?
- Is it stated in business terms? (i.e., talks about how it will help the budget unit business and not about IT implementation)
- A budget unit business goal?
- A Statewide IT initiative?
- Sustainability of an essential business function that is identified in the State's Continuity of Operations Plan (COOP)?

Objectives

- Is there at least one objective for each IT goal?
- Does the objective support the IT goal?
- Does it represent an intermediate achievement?
- Does it specify a result rather than an activity?
- Is it quantifiable?
- Does it provide a specific time frame?

Performance Measures

- Does the performance measure relate to the objective it represents?
- Is the performance measure quantifiable?
- Is there a specific time frame, when applicable, for taking the measurement?
- Taken together will the performance measures accurately reflect key results?
- Were targets set for the budget unit's performance measures?

Statewide Strategic IT Goals

- Are the statewide strategic IT goals addressed by the budget unit?

Additional Factors for Evaluation

- Does the strategic IT plan reflect the depth and breadth of the budget unit (e.g., more than one goal, objective and performance measure is required for a budget unit with IT expenditure of over \$1 million)?
- Does the strategic IT plan address the large IT initiatives in the budget unit?

- Does the strategic IT plan address the large statewide IT initiatives in which the budget unit is participating?
- Does the strategic IT plan address any security or other compliance gaps?
- Does the strategic IT plan address those areas in which GITA requested coverage?